

**UTAH DIVISION OF SECURITIES  
STATISTICS**

<b><u>Enforcement</u></b>	<b><u>FY 02</u></b>	<b><u>FY 03</u></b>	<b><u>FY04</u></b>	<b><u>FY05</u></b>	<b><u>FY06</u></b>
Complaints Received	172	175	171	98	85
Cases Opened	106	104	87	70	61
Cases Closed	118	0	86	66	47
Administrative Cases					
Cases Filed	141	118	70	55	87
Orders to Show Cause	65	71	41	13	63
Cease and Desist Orders	24	34	32	8	7
Stipulated Settlements	20	37	29	30	4
Denials and Revocations	26	22	20	4	11
Civil Cases					
Lawsuits filed	1	0	0	1	7
Judgments	0	0	2	0	1
Criminal Cases					
Criminal Charges Filed	66	46	54	35	19
Convictions	30	25	38	20	9
Pleas in Abeyance					9
Audits	28	41	50	36	54
Fines Paid	\$51,943	\$782,341	\$3,535,142	\$880,333.27	\$450,393.20
Funds Recovered or Ordered	\$16,582,868	\$5,191,923	\$28,167,307	\$63,649,804.58	\$2,480,666.34
<b><u>Licenses</u></b>					
Broker-Dealers	1,868	1,753	1,704	1,733	1,766
Broker-Dealer Agents	82,945	76,241	77,594	83,797	89,516
Investment Advisors	129	134	132	143	157
Federal Covered Advisors	588	609	643	701	1,398
I/A Representatives	2,013	2,239	2,451	3,088	3,445
Certified Dealers	20	25	18	25	23
Certified Dealer Agents	97	82	N/A	N/A	90
Issuer Agents	196	214	83	87	83
<b>Total</b>	<b>87,856</b>	<b>81,297</b>	<b>82,625</b>	<b>89,574</b>	<b>96,478</b>
Licensing Revenue					\$4,532,165.00
<b><u>Securities Filings</u></b>					
Registrations					
Coordination	127	125	136	146	128
Qualification	1	2	1	2	1
Exemptions	68	58	63	36	41
Opinion/No-Action Letters	3	6	3	7	4
Mutual Funds	3,915	4,184	3,998	4,252	4,514
Rule 506	412	437	531	659	808
<b>Total</b>	<b>4,526</b>	<b>4,812</b>	<b>4,732</b>	<b>5,102</b>	<b>5,496</b>
Filing Revenue					\$ 2,204,190.00